

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

PATENT

2131

#5

In Re Application of

Stephens, et al.

Group Art Unit: TO BE ASSIGNED

Serial No.: 09/702,483

Examiner: TO BE ASSIGNED

Filed: October 31, 2000

Docket No.: 191406-1010

For: SYSTEM AND METHOD FOR  
SECURE MANAGEMENT OF  
REMOTE SYSTEMS

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Technology Center 2100

INFORMATION DISCLOSURE STATEMENT

Assistant Commissioner for Patents  
Washington, D.C. 20231

Sir:

This information disclosure statement is filed in accordance with 37 C.F.R. §§ 1.56, 1.97, and 1.98, and specifically:

- ☒ under 37 CFR 1.97(b), or  
(within Three months of filing national application; or date of entry of international application; or before mailing date of first office action on the merits; whichever occurs last)
- ☐ under 37 CFR 1.97(c) together with either a:  
☐ Statement Under 37 C.F.R. 1.97(e), or  
☐ a \$180.00 fee under 37 CFR 1.17(p), or  
(After the CFR 1.97(b) time period, but before the final office action or notice of allowance, whichever occurs first)
- ☐ under 37 CFR 1.97(d) together with a:  
☐ Statement under 37 CFR 1.97(e), and  
☐ a \$180.00 petition fee set forth in 37 CFR 1.17(p).  
(Filed after final office action or notice of allowance, whichever occurs first, but before payment of the issue fee)

At any time during the pendency of this application, please charge any fees required to Deposit Account 20-0778 pursuant to 37 CFR 1.25. The Commissioner is hereby requested to credit any overpayment to Deposit Account No. 20-0778.

- ☒ Applicant(s) submit herewith *Form PTO 1449 - Information Disclosure Citation* together with copies of patents, publications or other information of which applicant(s) are aware, which applicant(s) believe(s) may or may not be material to the examination of this application and for which there may be a duty to disclose in accordance with 37 CFR 1.56. As required by 37 C.F.R. §1.98(a), a legible copy of each document is provided.
- ☐ A concise explanation of the relevance of foreign language patents, foreign language publications and other foreign language information listed on PTO Form 1449, as presently understood by the individual(s) designated in 37 CFR 1.56(c) most knowledgeable about the content is given on the attached sheet, or where a foreign language patent is cited in a search report or other action by a foreign patent office in a counterpart foreign application, an English language version of the search report or action which indicates the degree of relevance found by the foreign office is listed on the form PTO 1449 and is enclosed herewith.

## ADDITIONAL DISCLOSURE

Applicants are aware of a prior system, designated as "ESCN System," which was a prototype system developed and used more than one year before the filing date of the present application. The ESCN System allowed an administrator to provide "flat" files for clients. These files provide information content, and were not executable files for reconfiguring a client server. These "flat" files, once created by the administrator, were provided to a mail drop for pick up by a client. The client checked the mail drop at predetermined intervals (e.g., every ten minutes) and, upon detecting that there existed a file (or multiple files) on the mail server, the client retrieved the file(s) from the mail drop.

In one particular implementation of the ESCN System, the administrator created files to which the client had "limited access." In other words, the files that were placed at the mail drop were configured so that the client could only "view" certain portions of the file. This was done by providing access information in the file, which designated the limited clients (i.e., who was not allowed access) as well as the limited information (i.e., what the limited client was not allowed to view).

While the system was used within Applicant's company, there was no external use of the ESCN System except for purposes of testing and perfecting the present invention. Use within the company was solely for the purposes of testing for research and development, and there was no profit realized from the internal use of the ESCN System.

The following rights are reserved by the Applicant(s): the right to establish the patentability of the claimed invention over any of the listed documents should they be applied as reference, and/or the right to prove that some of these documents may not be prior art, and/or the right to prove that some of these documents may not be enabling for the teachings they purport to offer.

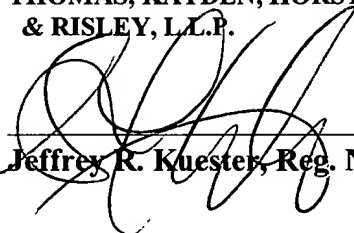
This statement should not be construed as a representation that an exhaustive search has been made, or that information more material to the examination of the present application does not exist. The Examiner is specifically requested not to rely solely on the materials submitted herewith. The Examiner is requested to conduct an independent and thorough review of the documents, and to form independent opinions as to their significance.

It is requested that the information disclosed herein be made of record in this application and that the Examiner initial and return a copy of the enclosed PTO-1449 to indicate the documents have been considered.

Respectfully Submitted,

**THOMAS, KAYDEN, HORSTEMEYER  
& RISLEY, L.L.P.**

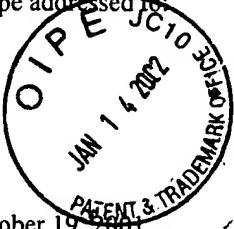
By:

  
\_\_\_\_\_  
**Jeffrey R. Kuester, Reg. No. 34,367**

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**CERTIFICATE OF MAILING**

I hereby certify that this correspondence is being deposited with the U.S. Postal Service as first class mail in an envelope addressed to:



**Assistant Commissioner for Patents**

**Washington, D.C. 20231**

on October 19, 2001.

  
Jeffrey R. Kuester

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The following is a list of documents enclosed:

Return Postcard  
Information Disclosure Statement  
Form PTO-1440 (1 page)  
Copy of Reference A